

# Electronic Filing System (EFS) Data

## Electronic Patent Application Submission

### USPTO Use Only

EFS ID: **12583**  
Application ID: **09682713**  
Title of Invention: **WEB BASED METHODS AND  
SYSTEMS FOR MANAGING  
COMPLIANCE ASSURANCE  
INFORMATION**  
First Named Inventor: **R. Mukund**  
Domestic/Foreign Application: **Domestic Application**  
Filing Date: **null**  
Effective Receipt Date: **2001-10-09**   
Submission Type: **Utility Patent Filing**  
Filing Type: **new-utility**  
Confirmation Number: **0**  
Attorney Docket Number: **17652-00012**  
Digital Certificate Holder: **cn=Michael Tersillo, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US**  
Certificate Message Digest: **KlqIBWgRQ5VVgWBbrO4p7A==**  
Total Fees Authorized: **\$1392.0**

Payment Category: **DA – Deposit Account**  
Deposit Account Number: **12384**  
Deposit Account Name: **Michael Tersillo**

JC474 U.S. PTO  
09/682713  
10/09/01



# TRANSMITTAL FORM

Electronic Version 1.0.2

Stylesheet Version: 1.0

Attorney Docket Number: 17652-00012

## WEB BASED METHODS AND SYSTEMS FOR MANAGING COMPLIANCE ASSURANCE INFORMATION

First Named Inventor: R. Mukund

**SUBMITTED BY**

Name: Michael Tersillo

Registration Number: 42,180

Electronic Signature Mark: Michael  
Tersillo Date Signed: 20011009

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

**Attached Files:**

bibd-transmittal	17652-00012apds.xml
fee-transmittal	17652-00012fee.xml
specification	Specification.xml
declaration	Dec.1.tif
declaration	Dec. 2.tif

## patent-assignment

17652-00012asgn.xml

**Attached Image File(s):**

Dec.1.tif

Dec. 2.tif

**Comments:**

**COMBINED DECLARATION AND POWER OF ATTORNEY****Attorney Docket No.****17652-00012**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **WEB BASED METHODS AND SYSTEMS FOR MANAGING COMPLIANCE ASSURANCE INFORMATION** the specification of which:

(check one) [T] is attached hereto

[ ] was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_,  
and was amended on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56(a).

I hereby claim priority benefits under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status (patented, pending, abandoned)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Additional provisional application numbers are listed on a supplemental priority sheet attached hereto.</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (*list name and registration number*)

Ronald E. Myrick, Reg. No. 26,315; Henry J. Policinski, Reg. No. 26,621; Jay L. Chaskin, Reg. No. 24,030; James W. Mitchell, Reg. No. 25,602; John F. Beninati, Reg. No. 24,030; Bernard Snyder, Reg. No. 24,843; Catherine J. Winter, Reg. No. 38,364, all of General Electric Company, 3135 Easton Turnpike, Fairfield, CT 06431; John S. Beulick, Reg. No. 33,338; Patrick W. Rasche, Reg. No. 37,916; Michael Tersillo, Reg. No. 42,180; Bruce T. Atkins, Reg. No. 43,476; Robert B. Reeser III, Reg. No. 45,548; Thomas M. Fisher, Reg. No. 47,564; Joseph A. Lanahan, Reg. No. 47,732; Gordon F. Sieckmann, Reg. No. 28,667; and Daniel M. Fitzgerald, Reg. No. 38,880; all of Armstrong Teasdale, One Metropolitan Square, Suite 2600, St. Louis, MO 63102-2740

Send Correspondence to:

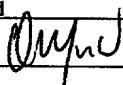
John S. Beulick  
Armstrong Teasdale LLP  
One Metropolitan Square, Suite 2600  
St. Louis, MO 63102-2740

Direct Telephone Calls To:

John S. Beulick  
314/621-5070

**COMBINED DECLARATION AND POWER OF ATTORNEY****Attorney Docket No.****17652-00012**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application and any patent issued thereon.

**SOLE OR FIRST INVENTOR:**Full Name: R. MukundSignature: Date: October 6, 2001Residence: Cincinnati, OH 45249Citizenship: USAPost Office Address: 12130 Crestfield Ct, Cincinnati, OH 45249**SECOND JOINT INVENTOR, IF ANY:**

Full Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: \_\_\_\_\_

Citizenship: \_\_\_\_\_

Post Office Address: \_\_\_\_\_

# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 1392**

**The commissioner is hereby authorized to charge indicated processing and/or publication fees and credit any overpayments to:**

Deposit Account Number: 01-2384



Deposit Account Name: Armstrong Teasdale LLP

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

**SUBMITTED BY**

Authorized Name: Michael Tersillo

Electronic Signature Mark: Michael Tersillo

Date Signed: 20011009

**BASIC FILING FEE**

Fee Description	Fee Code	Fee Paid
Utility Filing Fee	101	\$ 740

Subtotal For Basic Filing Fee: \$ 740

**EXTRA CLAIM FEES**

	Fee Code	Fee	Extra Claims	Fee Paid
Total Claims: 40	103	\$ 18	20	\$ 360
Independent Claims: 6	102	\$ 84	3	\$ 252

Subtotal For Extra Claims Fees: \$ 612

**ADDITIONAL FEES**

Fee Description	Fee Code	Fee Paid
Recording Each Patent Assignment Per Property Fee	581	\$ 40

Subtotal For Additional Fees: \$ 40